

Integrated Evaluation Plan Procedure

Effective Date: March 2006

Point of Contact: Carrie Swafford-Bennett, 372-4931

Introduction

The Integrated Evaluation Plan Procedure (IEPP) was established to provide the Pacific Northwest Site Office (PNSO) a tool for integrated planning of oversight assessments, reviews, and or visits to the Pacific Northwest National Laboratory by outside agencies (state and federal), other government entities, and the Department of Energy (both local and headquarters). The IEPP is consistent with and supports the requirements of DOE Policy 226.1 *Department of Energy Oversight Policy* and DOE Order 226.1 which provides direction for implementing the Policy. The results of following this IEPP are the development of an Integrated Evaluation Plan (IEP) which can then be used to measure PNSO performance in meeting its oversight responsibilities.

Applicability

The information in the plan applies to personnel who plan and conduct contractor surveillances or assessments, as well as PNSO self-assessments. This includes assessments of Integrated Safety Management performance, as well as business and functional areas.

The following items should be considered while creating or revising the Integrated Evaluation Plan.

- The need for assessments mandated by DOE Orders or other requirements outside PNSO (e.g., Quality Assurance assessment requirements mandated by the Waste Isolation Pilot Plant, Office of Civilian Radioactive Waste Management)
- Past contractor performance in relevant topical areas. When PNSO personnel have latitude to select assessment topics, assessments should be planned for areas presenting the greatest opportunities for positive impact on contractor performance. Sources to help identify areas of weakness include past assessment reports, contractor self-assessment reports, Annual Performance Evaluation and Measurement Plan Evaluation Report, and occurrence reports.
- Operations with the potential for high consequence events (e.g., nuclear facilities and operations)
- Knowledge from operational awareness activities (see the Performance Assurance Procedure).
- Topics of heightened interest across the DOE complex. Issues addressed in recent lessons learned or letters to DOE from the DNFSB may provide good topics for formal oversight.

- The contractor's self-assessment schedule. If the contractor plans to perform a self-assessment on a topic, consider assessing a different topic, partnering with the contractor on the assessment, or overseeing the contractor's assessment.
- Outstanding or recently completed contractor corrective actions. Assessing status of corrective actions, verifying/validating completion of actions, and determining effectiveness of corrective actions. Also evaluating the effectiveness of the contractor's self-assessment process and corrective action management processes.

“DOE Oversight” encompasses activities performed by DOE organizations to determine the effectiveness of Federal and contractor programs and management systems, including assurance and oversight systems. Oversight programs include operational awareness activities, onsite reviews, assessments, self-assessments, performance evaluations, and other activities that involve evaluation of contractor organizations and Federal organizations that operate Government-owned sites.”

Required Procedure

Develop and update the IEP following the steps below.

Step #	Description	Performer	Support
Step 1	<ul style="list-style-type: none"> • Request input from the POCs by September 1st for input to the upcoming fiscal year and update quarterly. 	IEP Coordinator	N/A
Step 2	<p>Provide IEP input to the IEP Coordinator quarterly. Input must include:</p> <ul style="list-style-type: none"> • assessments planned • assessments canceled • assessments rescheduled • assessments planned but not completed • assessments completed - include report number and date issued • assessments completed that were not planned (not on current IEP) - include report number and date issued. 	PNSO Staff	N/A

Step 3	Incorporate any available external assessment schedules into the IEP.	IEP Coordinator	N/A
Step 4	Informally provide applicable information from the IEP to the Integrated Planning and Assessment Management System owner.	IEP Coordinator	N/A
Step 5	Work with the Contractors Assessment Planning Coordinator to minimize redundant assessment efforts.	IEP Coordinator	IEP POCs
Step 6	Brief PNSO management on the IEP for annual approval.	IEP Coordinator	IEP Coordinator,
Step 7	Approve IEP via the PNSO Product Approval Form.	PNSO Management	N/A
Step 8	<p>Evaluate completed assessments against scheduled assessments quarterly (due 5 calendar days following the quarter). Provide results to management during Quarterly PNSO Program Review and discuss additional areas that may be in need of oversight. The metric for assessments will include evaluation of:</p> <ul style="list-style-type: none"> • assessments planned • assessments canceled • assessments rescheduled • assessments planned, but not completed • assessments completed as scheduled • assessments completed that were not planned. <p>Note: PNSO may conduct unscheduled "for cause" assessments as defined within the PNNL Contract Management Plan.</p>	IEP Coordinator	N/A

Suggested Guidelines

N/A

Requirements

Note: The most current version of the directives must be used. Current documents are available at the [Directives, Regulations, Policies, and Standards Portal](#).

DOE Policy 226.1 *Department of Energy Oversight Policy*

DOE Order 226.1 *Implementation of Department of Energy Oversight Policy*

DOE Guide 414.1-1A, *Implementation Guide for use with Independent and Management Assessment requirements of 10 CFR 830.120 and DOE Order 414.1, Quality Assurance*

DOE Guide 414.1-2A, *Quality Management System Guide for use with 10 CFR 830.120 and DOE O 414.1*

DOE Manual 411.1-C, *Safety Management Functions, Responsibilities and Authorities Manual*

DOE Order 414.1C, *Quality Assurance*

Product Approval Form

1. Product Type:

- ☒ Crosscutting Process/Procedures ☐ Program Description ☐ Management System Description
☐ Other (describe): _____

2. Product Title: Integrated Evaluation Plan Procedure

3. Brief explanation and justification:

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4. Request submitted by:

Carrie Swafford-Bennett

Name (Print)

Signature

Date

10 MAR 06

5. Requirement Document: Does a requirement (or requirements) drive this product? If so, please specify (e.g., legal requirement, R2A2, SC requirement, etc.)

Yes _____ Please Specify _____ No _____

6. Actions identified for product implementation:

- _____ "awareness" or briefing approach (classroom training, staff meetings, one-on-one, computer-based self study)
_____ revisions to other processes and procedures, program descriptions, or other products.
_____ other, explain: _____

7. Representative User Concurrence:

Dave Biancosino

Name (Print)

Signature

Date

3/13/06

Note: A representative user's concurrence is not necessary for minor revisions or cancellations.

8. Division Director Concurrence:

Roger Christensen

Name (Print)

Signature

Date

3/23/06

Julie Turner

Name (Print)

Signature

Date

3-20-06

Note: Concurrence is required by any Division Director who will be subject to requirements contained in the product:

9. PNSO Manager Approval:

Paul Kruger

Name (Print)

Signature

Date

3/22/06

Note: Signature approves this product for deployment on the PNSO web site.